



# UNITED STATES PATENT AND TRADEMARK OFFICE

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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/965,597	09/26/2001	Daniel S. Gluck	GLU-01	3506
759	90 08/01/2005		EXAMINER	
Otho B. Ross			BORISSOV	, IGOR N
28th Floor (c/o l			ART UNIT	PAPER NUMBER
New York, NY	<del>-</del>		3639	
			DATE MAILED: 08/01/2005	5

Please find below and/or attached an Office communication concerning this application or proceeding.

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	Application No.	Applicant(s)				
·	09/965,597	GLUCK ET AL.				
Office Action Summary	Examiner	Art Unit				
·	Igor Borissov	3639				
The MAILING DATE of this communication app						
Period for Reply						
A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.  - Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.  - If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.  - If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.  - Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).						
Status						
1)⊠ Responsive to communication(s) filed on 18 Ap	oril 2005.					
	action is non-final.					
3) Since this application is in condition for allowar closed in accordance with the practice under E	•					
	A parto gadyio, 1000 C.D. 11, 40	0.0.210.				
Disposition of Claims						
4)⊠ Claim(s) <u>1.4,6,9,15,17,18,23,26,28,31,37,39 ar</u> 4a) Of the above claim(s) is/are withdraw		ation.				
5) Claim(s) is/are allowed.	WI HOIH CONSIDERATION.					
6) Claim(s) 1,4,6,9,15,17,18,23,26,28,31,37,39 al	nd 40 is/are rejected.					
7) Claim(s) is/are objected to.						
8) Claim(s) are subject to restriction and/or	r election requirement.					
Application Papers						
9)☐ The specification is objected to by the Examine	г.					
10)☐ The drawing(s) filed on is/are: a)☐ acce	epted or b) $\square$ objected to by the E	Examiner.				
Applicant may not request that any objection to the		• •				
Replacement drawing sheet(s) including the correcti		• •				
11) The oath or declaration is objected to by the Ex	aminer. Note the attached Office	Action or form PTO-152.				
Priority under 35 U.S.C. § 119						
12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).						
a) ☐ All b) ☐ Some * c) ☐ None of:						
1. Certified copies of the priority documents have been received.						
2. Certified copies of the priority documents have been received in Application No.						
3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).						
* See the attached detailed Office action for a list of the certified copies not received.						
Attachment(s)	57					
1) Notice of References Cited (PTO-892) 2) Notice of Draftsperson's Patent Drawing Review (PTO-948)	4) ⊠ Interview Summary Paper No(s)/Mail Da					
3) Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)	5) 🔲 Notice of Informal P	atent Application (PTO-152)				
Paper No(s)/Mail Date	6)					

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Art Unit: 3639

#### **DETAILED ACTION**

### Response to Amendment

Amendment received on 4/18/2005 is acknowledged and entered. Claims 2, 3, 5, 7, 8, 10-14, 16, 19-22, 24-25, 27, 29-30, 32-36, 38, 41-49 have been canceled. Claims 1, 6, 9, 15, 17, 18, 23, 26, 28, 31, 37, 39 and 40 have been amended. Claims 1, 4, 6, 9, 15, 17, 18, 23, 26, 28, 31, 37, 39 and 40 are currently pending in the application.

## Claim Objections

Claim Objections have been withdrawn due to the applicant's amendment.

# Claim Rejections - 35 USC § 101

Claim Rejections under 35 USC § 101 have been withdrawn due to the applicant's amendment.

## Claim Rejections - 35 USC § 112

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

Claims 1, 4, 6, 9, 15, 17, 18, 23, 26, 28, 31, 37, 39 and 40 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter which applicant regards as the invention.

As per Claims 1 and 23, the phrase "minimally-polluting" is confusing and indefinite. The Claims do not provide any indication of range of values, which would allow to assess said terminology.

# Claim Rejections - 35 USC § 103

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negatived by the manner in which the invention was made.

Art Unit: 3639

Claims 1, 4, 6, 15, 26, 28 and 37 are rejected under 35 U.S.C. 103(a) as being unpatentable over Smith et al. (US 6,785,592) in view of Walker et al. (US 6,466,919) and further in view of Ishimaru et al. (US 5,432,710).

Smith et al. (Smith) teaches a computer-implemented method and system for optimization of energy procurement, comprising:

#### Claims 1 and 23.

Collecting and storing information related to energy conservation measures, said measures including energy equipment, energy and capital improvement investments (C. 6, L. 22-30);

collecting and storing information related to energy demand for clients (C. 7, L. 19-23; C. 9, L. 30-34);

calculating and providing a proposed solution for said measures, including: optimization of equipment, costs and operations of energy systems, and replacing energy-related equipment based on the collected information (C. 12, L. 42-54; C. 20, L. 59), wherein said collected information includes: regulatory-related issues (C. 14, L. 46-50), and site related information such as climate, weather and time zone data (C. 14, L. 53-54; C. 15, L. 45-47);

negotiating for obtaining discount for energy related services, including increase the volume of energy consumed at a discount (C. 20, L. 40-41);

conducting feasibility and cost-effectiveness analysis for replacing existing equipment (C. 14, L. 17-18);

optimizing the cost of replacing energy-related equipment (C. 12, L. 42-45; C. 20, L. 59);

implementing said measures (C. 6, L. 20), thereby indicating receiving a commitment from an individual client to spend funds for said measures.

However, Smith does not explicitly teach creating a binding contract if aggregate number of customers allows to implement said volume discount. Also, Smith does not

Art Unit: 3639

specifically teach that said energy equipment is minimally-polluting energy generation equipment.

Walker teaches a computer-implemented method and system for aggregating multiple buyers utilizing conditional purchase offers (CPO) for goods or services, wherein, if a seller accepts said aggregated CPO, an aggregate CPO management system binds the buyers on behalf of the accepting seller, to form one or more legally binding contracts (C. 2, L. 65 - C. 3, L. 3).

Ishimaru et al. (Ishimaru) teaches an energy supply method and system for optimizing energy cost, energy consumption and emission of pollutants, comprising: collecting data on energy usage from at least one customer and energy supply data from a plurality of suppliers, and calculating and reporting costs of energy usage expected by the customer while taking preservation of the environment into account (C. 10, L. 14 - C, 11, L. 12; C. 1, L. 68).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Smith to include creating a binding contract if aggregate number of customers allows to implement said volume discount, as disclosed in Walker, because it would advantageously allow to recover financial losses if customers defaults.

And it would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Smith and Walker to include that said energy conservation measures, which include energy equipment improvement and investments, are based in part on new technology issues including non-polluting issues, as disclosed in Ishimary, because upgrading client's energy-related equipment by non-polluting technology would advantageously bring health benefits to society.

Claims 4 and 26. Smith and Walker teach said method and system, wherein said collected information includes data on client geographic location (C. 14, L. 53-54); building specific factors (C. 15, L. 45-51); weather data including ambient temperature and humidity, hour of the day, type of the day and solar radiation (C. 16, L. 45-47); applicable tariffs (C. 6, L. 13); and new technology issues including micro turbines (C. 22, L. 10-22).

Art Unit: 3639

Ishimaru et al. (Ishimaru) teaches an energy supply method and system for optimizing energy cost, energy consumption and emission of pollutants, comprising: collecting data on energy usage from at least one customer and energy supply data from a plurality of suppliers, and calculating and reporting costs of energy usage expected by the customer (C. 10, L. 14 – C. 11, L. 12), wherein said data on energy usage comprises data on historical or anticipated electric power usage and energy generation preferences, including solar cells, fuel cells and wind power generators (C. 9, L. 27-29; C. 10, L. 22-27).

The motivation to combine Smith and Walker with Ishimary would be to advantageously provide the clients with various sources of energy generation equipment to choose from, thereby providing the best possible optimized solution for said energy conservation measures.

Claims 6 and 28. Ishimaru teaches an energy supply method and system, wherein the energy generation system comprises one of solar cells, fuel cells and wind power generators (C. 9, L. 27-29; C. 10, L. 22-27). The motivation to combine Smith and Walker with Ishimary would be to advantageously provide the clients with various sources of energy generation equipment to choose from, thereby providing the best possible optimized solution for said energy conservation measures.

Claims 15 and 37. Smith teaches said method and system, including providing nationally available assistance, including support specialists on staff to monitor, record and resolve client issues (C. 13, L. 40-49).

Claims 9 and 31 are rejected under 35 U.S.C. 103(a) as being unpatentable over Smith in view of Walker further in view of Ishimaru and further in view of Ardalan et al. (US 6,396,839).

Claims 9 and 31. Smith, Walker and Ishimary teach collecting and transmitting data on energy usage over the Internet (C. 7, L. 50-63).

Art Unit: 3639

However, Smith, Walker and Ishimary do not specifically teach that collecting said data over the Internet includes collecting said data interactively from an Internet Web site.

Ardalan et al. (Ardalan) teaches a method and system for remote access to electronic meters using a TCP/IP protocol suite, wherein the data on energy usage is collected from an Internet Web site (C. 4, L. 50-53).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Smith and Walker to include that the data on energy usage is collected from an Internet Web site, as disclosed in Ardalan, because the Internet is the largest existing available network, and using the Internet would be advantageously less costly then installing the dedicated network.

Claims 17-18 and 39-40 are rejected under 35 U.S.C. 103(a) as being unpatentable over Smith in view of Walker further in view of Ishimaru and further in view of Achon (Building an international plastics base in Spain; April, 1996).

Claims 17 and 39. Smith, Walker and Ishimary teaches energy management method and system for developing and implementing said energy conservation measures, which include energy equipment improvement and investments; said measures are based in part on new technology issues including non-polluting issues; said implementation of said measures is based in part on current state of deregulation (See a discussion above).

However, Smith, Walker and Ishimary do not specifically teach *organizing the* clients to advocate politically for regulatory changes.

Achon teaches developing an international plastics center in Spain, wherein local producers are lobbying for reduced energy cost (regulatory changes) (Page 2; 3<sup>rd</sup> paragraph).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Smith, Walker and Ishimary to include lobbying for

Art Unit: 3639

reduced energy cost as disclosed in Achon, because it would advantageously decrease the costs of implementing said energy conservation measures.

Claims 18 and 40. Smith, Walker and Ishimary teaches energy management method and system for developing and implementing said energy conservation measures, which include energy equipment improvement and investments; said measures are based in part on new technology issues including non-polluting issues; said implementation of said measures is based in part on current state of deregulation (See a discussion above).

However, Smith, Walker and Ishimary does not specifically teach organizing the clients to advocate politically for regulatory changes; and increasing the number of potential clients by doing so.

Achon teaches developing an international plastics center in Spain, wherein local producers are lobbying for reduced energy cost (regulatory changes) (Page 2; 3<sup>rd</sup> paragraph).

It would have been obvious to one having ordinary skill in the art at the time the invention was made to modify Smith, Walker and Ishimary to include lobbying for reduced energy cost as disclosed in Achon, because it would advantageously decrease the costs of implementing said energy conservation measures.

Lobbying for reduced energy cost, disclosed in Achon, indicates influencing public opinion regarding said issues, thereby causing increase in numbers of potential clients by doing so.

# Response to Arguments

Applicant's arguments filed on 04/18/2005 have been fully considered but they are not persuasive.

In response to the applicant's argument that the prior art does not teach minimally-polluting energy generation equipment, it is noted that that Smith teaches Collecting and storing information related to energy conservation measures, said

Art Unit: 3639

measures including generating a master knowledge base of *equipment* (C. 6, L. 22-23); conducting feasibility and cost-effectiveness analysis for replacing existing *equipment* (C. 14, L. 17-18); and providing a proposed solution for said measures, including: optimization of *equipment*, costs and operations of *energy systems*, and replacing *energy-related equipment* based on the collected information (C. 12, L. 42-54; C. 20, L. 59).

Furthermore, Smith teaches that said measures relate not only to equipment manufactures (C. 20, L. 59), but also the existing customer facilities equipment (C. 21, L. 32 and 42-43). As per "minimally-polluting" aspect of said equipment, Ishimaru was applied for this feature. Specifically, Ishimaru teaches collecting data on energy usage from a customer and energy supply data from suppliers while taking preservation of the environment into account (C. 10, L. 14 – C. 11, L. 12; C. 1, L. 68).

Furthermore, the Applicant admits in Applicant's Arguments or Remarks Made in an Amendment of 04/18/2005, that "The concepts of the invention are equally applicable to other types of equipment" (page 11, lines 12-13). Therefore, teachings of Smith are fully applicable for applicant's invention.

In response to the applicant's argument that the prior art does not teach aggregating the demand for energy generation equipment, it is noted that Smith teaches collecting and storing information related to energy demand for clients (C. 7, L. 19-23; C. 9, L. 30-34); and conducting feasibility and cost-effectiveness analysis for replacing existing equipment (C. 14, L. 17-18).

In response to the applicant's argument that the prior art does not teach purchase of equipment on a bulk basis to obtain volume pricing discounts, the examiner points out that Walker was applied for this feature. Specifically, Walker teaches a method and system for aggregating multiple buyers utilizing conditional purchase offers (CPO) for goods or services, wherein, upon accepting by a seller said aggregated CPO, binding contracts are created to binds the buyers on behalf of the accepting seller (C. 2, L. 65 – C. 3, L. 3).

Art Unit: 3639

#### Conclusion

The prior art made of record and not relied upon is considered pertinent to applicant's disclosure (see form PTO-892).

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Igor Borissov whose telephone number is 571-272-6801. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Hayes can be reached on 571-272-6708. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

**Igor Borissov** 

Patent Examiner

Page 9

Art Unit 3639

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7/12/2005

# Notice of References Cited Application/Control No. O9/965,597 Applicant(s)/Patent Under Reexamination GLUCK ET AL. Examiner Art Unit Page 1 of 1 U.S. PATENT DOCUMENTS

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Name	Classification
	Α	US-6,466,919	10-2002	Walker et al.	705/37
	В	US-6,260,024	07-2001	Shkedy, Gary	705/37
	С	US-2003/0139996	07-2003	D'Antoni et al.	705/37
	D	US-2002/0120540	08-2002	Kende et al.	705/35
·	ш	US-6,338,050	01-2002	Conklin et al.	705/80
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#### **FOREIGN PATENT DOCUMENTS**

*		Document Number Country Code-Number-Kind Code	Date MM-YYYY	Country	Name	Classification
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#### **NON-PATENT DOCUMENTS**

*		Include as applicable: Author, Title Date, Publisher, Edition or Volume, Pertinent Pages)
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\*A copy of this reference is not being furnished with this Office action. (See MPEP § 707.05(a).) Dates in MM-YYYY format are publication dates. Classifications may be US or foreign.

•	Application	No.	Applicant(s)	
Interview Summary	09/965,597		GLUCK ET AL.	
interview duminary	Examiner		Art Unit	
	Igor Borissov	/ 	3639	
All participants (applicant, applicant's representative, PT	O personnel):			
(1) Igor Borissov.	(3)			
(2) Otho b. Ross.	(4)			
Date of Interview: 31 March 2005.				
Type: a)⊠ Telephonic b)□ Video Conference c)□ Personal [copy given to: 1)□ applicant	2)⊡ applican	t's representative	e]	
Exhibit shown or demonstration conducted: d) Yes If Yes, brief description:	e)⊠ No.			•
Claim(s) discussed: Independent Claims.				
Identification of prior art discussed: Smith.		•		
Agreement with respect to the claims f)☐ was reached.	g)⊠ was not r	reached. h)□ N	I/A.	
Substance of Interview including description of the gene reached, or any other comments: <u>During the interviewes</u> the applicant's invention were discussed, including nonget a discount in a purchasing price. Also, 101 issues ar	s conducted on 3 pollution aspect	<u>3/14/2005 and 3/3 t of the equipment</u>	31/2005 various It and aggregating	specifics of
(A fuller description, if necessary, and a copy of the ame allowable, if available, must be attached. Also, where no allowable is available, a summary thereof must be attach	copy of the am			
THE FORMAL WRITTEN REPLY TO THE LAST OFFICE INTERVIEW. (See MPEP Section 713.04). If a reply to 1 GIVEN ONE MONTH FROM THIS INTERVIEW DATE, C FORM, WHICHEVER IS LATER, TO FILE A STATEMEN Summary of Record of Interview requirements on reverse	the last Office ac OR THE MAILING IT OF THE SUB	ction has already G DATE OF THIS STANCE OF TH	been filed, APPL S INTERVIEW SU	ICANT IS JMMARY
		J		
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Examiner Note: You must sign this form unless it is an Attachment to a signed Office action.		Examiner's signa	ature, if required	

U.S. Patent and Trademark Office PTOL-413 (Rev. 04-03)

#### **Summary of Record of Interview Requirements**

Manual of Patent Examining Procedure (MPEP), Section 713.04, Substance of Interview Must be Made of Record

A complete written statement as to the substance of any face-to-face, video conference, or telephone interview with regard to an application must be made of record in the application whether or not an agreement with the examiner was reached at the interview.

# Title 37 Code of Federal Regulations (CFR) § 1.133 Interviews Paragraph (b)

In every instance where reconsideration is requested in view of an interview with an examiner, a complete written statement of the reasons presented at the interview as warranting favorable action must be filed by the applicant. An interview does not remove the necessity for reply to Office action as specified in §§ 1.111, 1.135. (35 U.S.C. 132)

37 CFR §1.2 Business to be transacted in writing.

All business with the Patent or Trademark Office should be transacted in writing. The personal attendance of applicants or their attorneys or agents at the Patent and Trademark Office is unnecessary. The action of the Patent and Trademark Office will be based exclusively on the written record in the Office. No attention will be paid to any alleged oral promise, stipulation, or understanding in relation to which there is disagreement or doubt.

The action of the Patent and Trademark Office cannot be based exclusively on the written record in the Office if that record is itself incomplete through the failure to record the substance of interviews.

It is the responsibility of the applicant or the attorney or agent to make the substance of an interview of record in the application file, unless the examiner indicates he or she will do so. It is the examiner's responsibility to see that such a record is made and to correct material inaccuracies which bear directly on the question of patentability.

Examiners must complete an Interview Summary Form for each interview held where a matter of substance has been discussed during the interview by checking the appropriate boxes and filling in the blanks. Discussions regarding only procedural matters, directed solely to restriction requirements for which interview recordation is otherwise provided for in Section 812.01 of the Manual of Patent Examining Procedure, or pointing out typographical errors or unreadable script in Office actions or the like, are excluded from the interview recordation procedures below. Where the substance of an interview is completely recorded in an Examiners Amendment, no separate Interview Summary Record is required.

The Interview Summary Form shall be given an appropriate Paper No., placed in the right hand portion of the file, and listed on the "Contents" section of the file wrapper. In a personal interview, a duplicate of the Form is given to the applicant (or attorney or agent) at the conclusion of the interview. In the case of a telephone or video-conference interview, the copy is mailed to the applicant's correspondence address either with or prior to the next official communication. If additional correspondence from the examiner is not likely before an allowance or if other circumstances dictate, the Form should be mailed promptly after the interview rather than with the next official communication.

The Form provides for recordation of the following information:

- Application Number (Series Code and Serial Number)
- Name of applicant
- Name of examiner
- Date of interview
- Type of interview (telephonic, video-conference, or personal)
- Name of participant(s) (applicant, attorney or agent, examiner, other PTO personnel, etc.)
- An indication whether or not an exhibit was shown or a demonstration conducted
- An identification of the specific prior art discussed
- An indication whether an agreement was reached and if so, a description of the general nature of the agreement (may be by
  attachment of a copy of amendments or claims agreed as being allowable). Note: Agreement as to allowability is tentative and does
  not restrict further action by the examiner to the contrary.
- The signature of the examiner who conducted the interview (if Form is not an attachment to a signed Office action)

It is desirable that the examiner orally remind the applicant of his or her obligation to record the substance of the interview of each case. It should be noted, however, that the Interview Summary Form will not normally be considered a complete and proper recordation of the interview unless it includes, or is supplemented by the applicant or the examiner to include, all of the applicable items required below concerning the substance of the interview.

A complete and proper recordation of the substance of any interview should include at least the following applicable items:

- 1) A brief description of the nature of any exhibit shown or any demonstration conducted,
- 2) an identification of the claims discussed,
- 3) an identification of the specific prior art discussed,
- 4) an identification of the principal proposed amendments of a substantive nature discussed, unless these are already described on the Interview Summary Form completed by the Examiner.
- 5) a brief identification of the general thrust of the principal arguments presented to the examiner,
  - (The identification of arguments need not be lengthy or elaborate. A verbatim or highly detailed description of the arguments is not required. The identification of the arguments is sufficient if the general nature or thrust of the principal arguments made to the examiner can be understood in the context of the application file. Of course, the applicant may desire to emphasize and fully describe those arguments which he or she feels were or might be persuasive to the examiner.)
- 6) a general indication of any other pertinent matters discussed, and
- 7) if appropriate, the general results or outcome of the interview unless already described in the Interview Summary Form completed by the examiner.

Examiners are expected to carefully review the applicant's record of the substance of an interview. If the record is not complete and accurate, the examiner will give the applicant an extendable one month time period to correct the record.

#### **Examiner to Check for Accuracy**

If the claims are allowable for other reasons of record, the examiner should send a letter setting forth the examiner's version of the statement attributed to him or her. If the record is complete and accurate, the examiner should place the indication, "Interview Record OK" on the paper recording the substance of the interview along with the date and the examiner's initials.

**NAV** 

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#### NEW CENTRAL FAX NUMBER

Effective July 15, 2005

On <u>July 15, 2005</u>, the Central FAX Number will change to **571-273-8300**. This new Central FAX Number is the result of relocating the Central FAX server to the Office's Alexandria, Virginia campus.

Most facsimile-transmitted patent application related correspondence is required to be sent to the Central FAX Number. To give customers time to adjust to the new Central FAX Number, faxes sent to the old number (703-872-9306) will be routed to the new number until September 15, 2005.

After September 15, 2005, the old number will no longer be in service and 571-273-8300 will be the only facsimile number recognized for "centralized delivery".

CENTRALIZED DELIVERY POLICY: For patent related correspondence, hand carry deliveries must be made to the Customer Service Window (now located at the Randolph Building, 401 Dulany Street, Alexandria, VA 22314), and facsimile transmissions must be sent to the Central FAX number, unless an exception applies. For example, if the examiner has rejected claims in a regular U.S. patent application, and the reply to the examiner's Office action is desired to be transmitted by facsimile rather than mailed, the reply must be sent to the Central FAX Number.